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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/878,338	06/12/2001	Dennis Mendiola	YSAP.CHIKKA.PT5	2153

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EXAMINER
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DASS, HARISH T

ART UNIT	PAPER NUMBER
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3693

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08/20/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/878,338	<b>Applicant(s)</b> MENDIOLA ET AL.	
	<b>Examiner</b> Harish T. Dass	<b>Art Unit</b> 3693	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 29 May 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-34 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-34 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

***Claim Rejections - 35 USC § 112***

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-14 and 22-34 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1, 8, 22, 27 and 30 recites the limitation " the device " in claim 1 line 7, claim 8 line 6, claim 22 line 3, claim 27 line 3, claim 30. There is insufficient antecedent basis for this limitation in the claim.

***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Friedland et al (hereinafter Friedland – US 6,449,601) in view of Kivimaki (WO 00/22906) and Lumme et al. (hereinafter Lumme – US 6,587,693).

Re. Claims 1 and 8, Friedland discloses an auction method, system, and requiring that a prospective buyer or seller register with the trading and auction system before being

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able to place trading instructions (submit bids), including requiring that said prospective buyer or seller provide a phone (Figure 5 # 522) in possession of the prospective buyer or seller [Friedland – Figures 1, 4-11; Abstract; col. 1 lines 20-25; col. 2 line 43 - col. 3 line 22; col. 10 lines 13-61; col. 5 lines 6-14];

Assigning a password to said prospective buyer or seller [Fig. 5 # 510; col. 10 lines 35-36];

Communicating said password to said prospective buyer or seller and receiving a confirmation of said password from said prospective buyer or seller, wherein at least one of said steps of communicating said password and receiving a confirmation of said password are performed using said telephone device's messaging capability [Figure 4; col. 3 lines 52-67; col. 5 lines 6-14; col. 10 lines 13-61 – see Internet-based web page, by mail, by telephone, or by some other communications means];

Activating said prospective buyer or seller's account or trading instruction if said communicated password matches the signed password [col. 3 lines 10-17; col. 10 lines 26-40 – matching password is inherent in Friedland];

Assigning a unique identification number to each product or service for sale or auction at said trading and auction system [Figures 9-10; col. 14 line 44 to col. 15 line 36 – see product name and lot number (lot numbers must be unique to differentiate between different lots like product number)];

Sending messages to a buyer's telephone device concerning offers or bids made by that buyer in relation to a product or service, with the unique identification number of the product or service included in only a sender field of each message protocol

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messages to the buyer [Figures 10-11; col. 3 lines 22-30; col. 6 lines 14-52; col. 9 line 65 to col. 10 line 12; col. 14 lines 51-52, col. 14 line 59 to col. 15 line 36 – see lower level protocol header];

Receiving messages concerning a buyer's trading instructions on a product *or* service from that buyer's telephone device, determining the product *or* service by extracting and recognizing the unique identification number of the product *or* service from only a 'Recipient' field of received message protocol messages from the buyer, identifying the buyer by extracting and recognizing the unique identifier of the telephone device (device) from the only sender field of each message from the buyer [Figures 10-11; col. 3 lines 22-30; col. 6 lines 14-52; col. 9 line 65 to col. 10 line 12; col. 14 lines 51-52, col. 14 line 59 to col. 15 line 36].

Re. Claim 1, Friedland does not explicitly disclose unique identifier of a SMS messaging-capable wireless device, wireless communication and parsing a text body of each higher bid short message protocol messages to determine the buyer's trading instructions for that product *or* service, SMS, and short message protocol, and when the buyer has been outbid or has no longer made a winning offer and device configured to send and receive short message protocol messages, each of the messages having a single 'Sender' field and a single 'Recipient' field.

Re. Claim 8, Friedland does not explicitly disclose unique identifier of a SMS messaging-capable wireless device, wireless communication and, SMS, and short message protocol, and concatenating an access identification number with a numeric address pertaining to and recognized by the system for registration purposes, placing

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said concatenated number in an only 'Sender' field of a SMS message, and sending the password in the SMS message to said buyer or seller' and device configured to send and receive short message protocol messages, each of the messages having a single 'Sender' field and a single 'Recipient' field.

However, Lumme discloses SMS enabled devices (mobile station), SMS protocol, and device configured to send and receive short message protocol messages, each of the messages having a single 'Sender' field and a single 'Recipient' field; [Figure 1 (MS); col. 4 lines 13-16; col. 7 line 43 to col. 8 line 24 ("sender field" & "recipient field")] to send and receive email message between sender and recipient (receiver) using short message service center (SMSC) with a flexible mechanism for creating addresses between the short message function of a mobile communication system and Internet. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to modify the disclosure of Friedland and include SMS enabled devices and device configured to send and receive short message protocol messages, each of the messages having a single 'Sender' field and a single 'Recipient' field, as disclosed by Lumme, to provide a system for sending and receiving an email using SMSC.

Kivimaki explicitly discloses, SMSC, electronic auctions using mobile phone or wireless internet and unique identifier of a messaging-capable wireless device and SQL server (SQL database engine is well known which includes parsing a text body and extracting/identifying different fields (parsing a text body of each higher bid short message protocol messages to determine the buyer's trading instructions for that

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product or service), [Abstract; Figures 1-2, 3 (#360-380), 4 (#410-420); page 4 lines 10-35 and claims 2, 7-8 (see product identifier (which has be unique number otherwise how to manage multiple products such as known universal bar code, seller/auctioneer assigned number, etc), and purchase offer identifier which points out to specific product); (see and identifier fields, which points out that every shot message has number of fields separated by two characters which are used to identified different fields, where these fields are parsed using the two characters which are delimiters – Note: parsing text/data message are known to one ordinary skilled in the art)], and SMS [abstract], short message protocol [page 7 lines 30 (communication standard such as GSM) – note: communication protocols are set of rules or standard for connecting devices for exchange of information as defined in Microsoft Computer Dictionary, 2002] to enable the system to exchange messages with commonly used standardized protocol such as GSM, etc. instead of customize system which may have negative market impact.

Kivimaki, further, discloses concatenating an access identification number with a numeric address pertaining to and recognized by the system for registration purposes, placing said concatenated number in an only 'Sender' field of a SMS message, and sending the password in the SMS message to said buyer or seller' [figure 5; page 10 lines 4-9 (information for authenticating the buyer), lines 15-25 (maximum length of 160 characters is concatenation of fields which can include identification number, etc.); page 8 lines 20-31; page 9 lines 1-7] which is important for binding the buyer with the acceptance of offer to purchase a product.

It would have been obvious at the time the invention was made to a person having ordinary skill in the art to modify the disclosure of Friedland and Lumme and include transmitting and receiving short messages (e.g. 160 characters) to and from registered buyer using SMS wireless communication system, as discloses by Kivimaki, to enable the users (buyer) to use SMS wireless people to do business while they are on road to enable buyer/seller to participate in auction using wireless device without continuously monitoring the auction state/status and also enable the participating buyer (auction participant) to pay for the product using his/her subscriber's account of wireless device, where the settlement is added to accumulated value of calls/messages of the subscriber.

Re. Claim 2 Kivimaki further discloses requiring that a buyer authenticate their identity with the trading and auction *system* when placing their first trading instruction in relation to a product *or* service by an exchange of messages between the trading and auction *system*, in which at least one of said messages are sent *or* received using said wireless device's messaging capability [Abstract; Figures 1-4; col. 4 lines 10-35; col. 7 line 27 to col. 8 line 9].

Re. Claim 3 Friedland wherein said step of communicating said password to said prospective buyer *or* seller is performed over a computer network, and said step of receiving a confirmation of said password from said prospective buyer *or* seller is performed using said wireless device's messaging capability [Figures 5-6; col. 2 line 65



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to col. 3 line 22; col. 5 lines 6-14; col. 9 lines 1-63; col. 10 lines 13-61 – see Internet-based web page, by mail, by telephone, or by some other communications means (may include wireless devices)].

Re. Claim 4 Friedland wherein said step of communicating said password to said prospective buyer *or* seller is performed using said wireless device's messaging capability, and said step of receiving a confirmation of said password from said prospective buyer *or* seller is performed over a computer network [Figures 5-6; col. 2 line 65 to col. 3 line 22; col. 5 lines 6-14; col. 9 lines 1-63; col. 10 lines 13-61 – see Internet-based web page, by mail, by telephone, or by some other communications means (may include wireless devices such as cellular phone or wireless internet)].

Re. Claims 5-7 and 12-14, Kivimaki further discloses wherein said wireless device is a serviced by a GSM network including a SMSC server to control and manage SMS to and from said wireless device, wherein said trading and auction *system* is in direct communication with said SMSC server, wherein said step of sending messages to a buyer's SMS message-capable wireless device includes the step concatenating an access identification number with the unique identification number of the product *or* service being bid and placing said concatenated number in only the sender field of each message to buyer, said SMSC server using the access identification number to identify whether SMS message from the SMS messaging-capable wireless devices destined for said trading and auction *system* and to forward such destined SMS message directly to

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the trading and auction *system*, wherein said trading and auction *system* is connected to said SMSC server via a computer network [Abstract; Figures 1-2; col. 4 line 5 to col. 5 line 12; col. 6 line 35 to col. 8 line 9]. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to modify the disclosure of Friedland and Lumme and include the above features disclosed by Kivimaki, to enable user to use SMS enabled device to communicate with SMSC servers fro buying a product.

Re. Claim 9, claim 9 is substantially similar to claim 2, therefore claim 9 is rejected with same rational as claim 2.

Re. Claim 10, claim 10 is substantially similar to claim 3, therefore claim 10 is rejected with same rational as claim 3.

Re. Claim 11, claim 11 is substantially similar to claim 4, therefore claim 11 is rejected with same rational as claim 4.

Re. Claims 15, 22, 27 and 30, claims 22, 27 and 30 are substantially similar to claims 1 and 8 (see above), therefore claims 15, 22, 30 and 27 are rejected with same rational as claims 1 and 8.

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Re. Claims 23 and 31, claims 23 and 31 are substantially similar to claim 2, therefore claims 23 and 31 are rejected with same rational as claim 2.

Re. Claims 24-26, 28-29 and 32-34, claims 24-26, 28-29 and 32-34 are substantially similar to claims 5-7, therefore claims 24-26, 28-29 and 32-34 are rejected with same rational as claims 5-7.

Re. Claim 16, claim 16 is substantially similar to claim 2, therefore claim 16 is rejected with same rational as claim 2.

Re. Claim 17, claim 17 is substantially similar to claim 3, therefore claim 17 is rejected with same rational as claim 3.

Re. Claim 18, claim 18 is substantially similar to claim 4, therefore claim 18 is rejected with same rational as claim 4.

Re. Claims 19-21, claims 19-21 are substantially similar to claims 5-7, therefore claims 19-21 are rejected with same rational as claims 5-7.

### ***Response to Arguments***

3. Applicant's arguments with respect to added limitation filed 05/29/2007 have been fully considered but the arguments with respect to pending claims/added limitations are moot in view of the above rejection.

***Conclusion***

2. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Applicant has not acknowledged previously submitted "Requirement for Information Under 37 C.F.R. § 1.105".

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Applicant is required under 37 CFR ' 1.111 (c) to consider the references fully when responding to this action.

A. Vaha-Sipila, Nokia, 19-May-1999 ""URLs for GSM Short Message Service"" discloses a URL (Uniform Resource Locator) scheme "sms" for specifying a recipient for

an alphanumeric message (Short Message) in a GSM-based mobile phone system. Short Messages are two-way paging messages that can be sent from a suitably equipped computer or a phone.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harish T. Dass whose telephone number is 571-272-6793. The examiner can normally be reached on 8:00 AM to 4:50 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James A. Kramer can be reached on 571-272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Harish T Dass  
Examiner  
Art Unit 3693

*Harish T Dass*

8/15/07